## 9703 Rec'd PCT/PTO 2 8 FEB 2005

PTO-1390 (Rev. 02-2005)
Approved for use through 3/31/2007. OMB 0651-0021
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|   | ANSMITTAL LETTER TO  | ATTORNEY'S DOCKET NUMBER: 8092-002-US     |  |  |  |  |  |  |
|---|--|---|--|--|--|--|--|--|
| DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371  |  |   | U.S. APPLICATION, NO. (If known, see 27 GER 1.5) |  |  |  |  |  |
|   | TIONAL APPLICATION NO.   | INTERNATIONAL FILING DATE                 | PRIORITY DATE CLAIMED                            |  |  |  |  |  |
| PCT/C   | A2003/001320   | August 29, 2003                           | August 30, 2002                                  |  |  |  |  |  |
| TITLE OF INVENTION DIAGNOSIS OF SHWACHMAN-DIAMOND SYNDROMF  |  |   |  |  |  |  |  |  |
| APPLICANT(S) FOR DO/EO/US ROMMENS, J., et al.   |  |   |  |  |  |  |  |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: |  |   |  |  |  |  |  |  |
| 1.  | 1. This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.  |   |  |  |  |  |  |  |
| 2.  | This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.  |   |  |  |  |  |  |  |
| 3.  | 3. This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. |   |  |  |  |  |  |  |
| 4.  | The US has been elected (Article 31).  |   |  |  |  |  |  |  |
| 5.  | A copy of the International Application as filed (35 U.S.C. 371(c)(2))   |   |  |  |  |  |  |  |
|   | a. is attached hereto (required only if not communicated by the International Bureau).   |   |  |  |  |  |  |  |
|   | b. X has been communicated by the International Bureau.  |   |  |  |  |  |  |  |
|   | c. is not required, as the application was filed in the United States Receiving Office (RO/US).  |   |  |  |  |  |  |  |
| 6.  | An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).   |   |  |  |  |  |  |  |
|   | a. is attached hereto.   |   |  |  |  |  |  |  |
|   | b. has been previously submitted under 35 U.S.C. 154(d)(4).  |   |  |  |  |  |  |  |
| 7.  | Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))   |   |  |  |  |  |  |  |
|   | a. are attached hereto (required only if not communicated by the International Bureau).  |   |  |  |  |  |  |  |
|   | b. have been communicated by the International Bureau.   |   |  |  |  |  |  |  |
|   | c. have not been made; however, the time limit for making such amendments has NOT expired.   |   |  |  |  |  |  |  |
| •   | d. have not been made and will not be made.  |   |  |  |  |  |  |  |
| 8.  | An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).  |   |  |  |  |  |  |  |
| 9. 🗌  | An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).   |   |  |  |  |  |  |  |
| 10.   | An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).                       |   |  |  |  |  |  |  |
| Items 11 to 20 below concern document(s) or information included:   |  |   |  |  |  |  |  |  |
| 11.   | An Information Disclosure Statement  | under 37 CFR 1.97 and 1.98.               |  |  |  |  |  |  |
| 12. 🔲   | An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.  |   |  |  |  |  |  |  |
| 13. 🗓   | A preliminary amendment.   |   |  |  |  |  |  |  |
| 14. 🔲   | An Application Data Sheet under 37   | CFR 1.76.                                 |  |  |  |  |  |  |
| 15.   | A substitute specification.  |   |  |  |  |  |  |  |
| 16.   | A power of attorney and/or change of   | f address letter.                         |  |  |  |  |  |  |
| 17. X   | A computer-readable form of the seq  | uence listing in accordance with PCT Rule | 13 <i>ter.</i> 2 and 37 CFR 1.821- 1.825.        |  |  |  |  |  |
| 18. 💢   | A second copy of the published International Application under 35 U.S.C. 154(d)(4).  |   |  |  |  |  |  |  |
| 19.   | A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).  |   |  |  |  |  |  |  |
| 20 14   | Other items or information.  |   |  |  |  |  |  |  |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTC-1390 (Rev. 02-2005)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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| U.S. APPLICAT  | ION NO. (if knowr   | ATTORNEY'S DOCKET NUMBER |  |                       |                       |                |  |
|--|---|--------------------------|--|-----------------------|-----------------------|----------------|--|
| 10/526427 PCT/CA2003/001320  |   |                          |  |                       | 8092-002-US           |                |  |
| The foll   | owing fees have b   | een submitted            |  |                       | CALCULATIONS          | PTO USE ONLY   |  |
| 21. 💢 Basi   | c national fee  |                          |  | \$300                 | \$300.00              |                |  |
| If International p<br>PCT Article 33   | nination fee<br>reliminary examina<br>3(1)-(4)                              | \$200.00                 |  |                       |                       |                |  |
| Search fee (37 C<br>Internatio<br>International Sea  | rch fee<br>FR 1.445(a)(2)) h<br>nal Searching Aut<br>rch Report prepar<br>s | \$400.00                 |  |                       |                       |                |  |
|  | TOTAL OF 21, 22   | 2 and 23 =               |  |                       | \$900.00              |                |  |
| Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium).  The fee is \$250 for each additional 50 sheets of paper or fraction thereof. |   |                          |  |                       |                       |                |  |
| Total Sheets   | Extra Sheets  |                          | ch additional 50 or fraction up to a whole number) | RATE                  |                       |                |  |
| - 100 =  | /50 =   |                          |  | × \$250               | <b>\$</b> 0           |                |  |
|  | 0.00 for furnishing<br>ate (37 CFR 1.49)                                    |                          | laration later than 30 months f                    | rom the earliest      | <b>\$</b> 0           |                |  |
| CLAIMS   | NUMB  | ER FILED                 | NUMBER EXTRA                                       | RATE                  | \$                    |                |  |
| Total claims   | · 4:  | - 20 =                   | 23   | × \$50                | \$ \$1,150.00         |                |  |
| Independent clair  |   |                          | 7  | × \$200               | \$ 1,400.00           |                |  |
| MULTIPLE DEPE  | NDENT CLAIM(S   |                          | 5  | + \$360               | \$ 360.00             |                |  |
|  |   |                          | TOTAL OF ABOVE                                     | CALCULATIONS =        | ¢                     |                |  |
| Applicant cla  | ims small entity st   | tatus. See 37 CF         | R 1.27. Fees above are reduc                       | ced by 1/2.           | 3810.00               |                |  |
| **   |   |                          |  | SUBTOTAL =            | \$ 1905.00            |                |  |
| •  | f <b>\$130.00</b> for furni<br>ate (37 CFR 1.49)                            | \$                       | 1  |                       |                       |                |  |
|  |   | \$ 1905.00               |  |                       |                       |                |  |
|  | the enclosed ass<br>cover sheet (37   | \$                       |  |                       |                       |                |  |
|  |   |                          | TOTAL F  | EES ENCLOSED =        | \$ 1905.00            | - ::-          |  |
|  |   |                          |  |                       | Amount to be          | T <sub>s</sub> |  |
|  |   |                          |  |                       | refunded:             | \$             |  |
| <u> </u>   |   |                          |  |                       | Amount to be charged: | \$ 1905.00     |  |
| a. XX A chec   | k in the amount of  | \$ 2,305.00              | to cover the abo                                   | ove fees is enclosed. |                       |                |  |
| b. Please charge my Deposit Account No in the amount of \$ to cover the above fees.  A duplicate copy of this sheet is enclosed.   |   |                          |  |                       |                       |                |  |
| c. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No502235 A duplicate copy of this sheet is enclosed (502235)  |   |                          |  |                       |                       |                |  |
| d. Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.                       |   |                          |  |                       |                       |                |  |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.                                     |   |                          |  |                       |                       |                |  |
| SEND ALL CORRESPONDENCE TO:  |   |                          |  |                       |                       |                |  |
| Catalyst Law Group, APC  4330 La Jolla, Village Dr.  Jeff Landes, Esq.   |   |                          |  |                       |                       |                |  |
| 4330 La  <br>  Suite 22  |   | les, Esq.                |  |                       |                       |                |  |
|  | Suite 220 NAME<br>San Diego, CA 92122 55,355                                |                          |  |                       |                       |                |  |
|  | REGISTRATION NUMBER   |                          |  |                       |                       |                |  |

DTC3 Desig FGT/FTO 2 8 FEB 2005

### Certificate of Express Mail Mailing

Under 37 CFR 1.10 I certify that this correspondence is being deposited with the United States Postal Service as Express Mail No. EV 383801243 US in an envelope addressed to: Mail Stop Patent Application, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on the date indicated below:

Jeff Landes

February 28, 2005
Date of Deposit

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| In re Application of:                             | Examiner: To Be Assigned       |  |  |
|---|--------------------------------|--|--|
| ROMMENS, J. et al.                                | Group Art Unit:                |  |  |
| Serial No.: PCT/CA2003/001320 )                   | Docket No.: 8092-002-US        |  |  |
| Filed: Herewith                                   | Date Mailed: February 28, 2005 |  |  |
| For: DIAGNOSIS OF SHWACHMAN- ) DIAMOND SYNDROME ) | 110EV486127758US               |  |  |

#### TRANSMITTAL LETTER

Mail Stop: Patent Application Honorable Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

This submission is to effect entry of PCT Application PCT/CA2003/001320 into the United States National Stage under 35 U.S.C. § 371 and 37 C.F.R. § 1.495.

Accordingly, the following documents are transmitted:

- (1) Form PTO-1390, Transmittal Letter to the DO/EO/US Concerning a Submission Under 35 USC §371.
  - (2) A copy of the above-identified PCT application.
- (a) It is our understanding that this PCT application has already been transmitted to the United States Patent and Trademark Office.
- (b) A copy of form PCT/IB/308 noticing Applicant of the communication of the international application to the designated offices pursuant to PCT Rule 47(1) is enclosed a conclusive evidence of the transmission of the application to the United States Patent and Trademark Office.
- (3) A Preliminary Amendment under 37 C.F.R. § 1.121 to amend the above-identified application for entry into the United States National Stage; including:
  - (a) Amendments to the Claims pursuant to 37 CFR §1.121; and
- (b) Amendments to the Specification as a Substitute Specification pursuant to 37 CFR §1.121 and §1.125.
  - (4) Sequence Listing and Declaration:
    - (a) Sequence Listing on CR-R
    - (b) Computer Readable Form on CD-R
- (c) Declaration of Jeff Landes, Esq. that the sequence listings presented on both CD-Rs and in the written text are all identical.
  - (5) A copy of the International Search Report. No Demand was filed.
- (6) A Check in the amount of \$2305.00, reflecting the application fee of \$1905.00.00 under 37 C.F.R. § 1.492(a)(5) for a PCT Application. This fee payment is for a small entity. Please refund any additional amount or withdraw any deficiencies from the representative's deposit account.

(7) An addressed and stamped post card. Please indicate your receipt of the enclosed documents on the postcard and place the postcard in to the U.S. Mail.

Priority under 35 U.S.C. §§ 119 and 365 and under 37 C.F.R. § 1.55 is hereby claimed for the national stage application. This priority is claimed to: (1) PCT Application No. PCT/CA2003/001320, filed on August 29, 2003, and designating the United States; and to (2) U.S. Provisional Application No. 60/406,950, filed on August 30, 2002, from which PCT Application No. PCT/CA2003/001320 claimed priority.

Respectfully submitted,

Date: Feblucry 28, 2005

CATALYST LAW GROUP, APC 4220 La Jolla Village Drive, Suite 220 San Diego, California 92122 (858) 450-0099 (858) 450-9834 (Fax) Jeff E. Landes, Esq. Reg. No.: 55,355